

01/03/02  
PTO

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

First Inventor

Title

Express Mail Label No.

Dr. Sylvain Fischer

Kerr Integrated Optical Ring Filter

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 19]  
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 6 ]

5. Oath or Declaration [ Total Pages 2 ]

a.  Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)

i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO: Assistant Commissioner for Patents

Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- Computer Readable Form (CRF)
- Specification Sequence Listing on:
  - CD-ROM or CD-R (2 copies); or
  - paper
- Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of  
(when there is an assignee)  Attorney

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.

17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP)

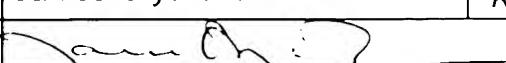
of prior application No. /

Prior application information

Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			<input type="checkbox"/> or <input checked="" type="checkbox"/> Correspondence address below
Name	Janice Olyarchuk			
Address	#55 The Oaks, Herbert Park Lane Ballsbridge			
City	Dublin 4	State	Zip Code	
Country	Ireland	Telephone	+353 1 6686127	Fax +353 12091920
Name (Print/Type)	Janice Olyarchuk		Registration No. (Attorney/Agent)	
Signature			Date	12/22/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 370.00)

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Dr. Sylvain Fischer
Examiner Name	
Group Art Unit	
Attorney Docket No.	

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number   
 Deposit Account Name   
 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status See 37 CFR 1.27

2.  Payment Enclosed:  
 Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	65	Surcharge - late filing fee or oath	
127	50	227	25	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	130	Non-English specification	
147	2,520	147	2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	55	Extension for reply within first month	
116	400	216	200	200	Extension for reply within second month	
117	920	217	460	460	Extension for reply within third month	
118	1,440	218	720	720	Extension for reply within fourth month	
128	1,960	228	980	980	Extension for reply within fifth month	
119	320	219	160	160	Notice of Appeal	
120	320	220	160	160	Filing a brief in support of an appeal	
121	280	221	140	140	Request for oral hearing	
138	1,510	138	1,510	1,510	Petition to institute a public use proceeding	
140	110	240	55	55	Petition to revive - unavoidable	
141	1,280	241	640	640	Petition to revive - unintentional	
142	1,280	242	640	640	Utility issue fee (or reissue)	
143	460	243	230	230	Design issue fee	
144	620	244	310	310	Plant issue fee	
122	130	122	130	130	Petitions to the Commissioner	
123	50	123	50	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	180	Submission of Information Disclosure Stmt	
581	40	581	40	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	370	Request for Continued Examination (RCE)	
169	900	169	900	900	Request for expedited examination of a design application	
Other fee (specify) _____						

SUBTOTAL (1) (\$ 370.00)

## 2. EXTRA CLAIM FEES

Total Claims	8	-20** =	0	x	0.00	=	0.00	Fee from below	Fee Paid
Independent Claims	1	- 3** =	0	x	0.00	=	0.00		
Multiple Dependent									

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	9	Claims in excess of 20
102	84	202	42	42	Independent claims in excess of 3
104	280	204	140	140	Multiple dependent claim, if not paid
109	84	209	42	42	** Reissue independent claims over original patent
110	18	210	9	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00)

\*\*or number previously paid, if greater. For Reissues, see above

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 0.00)

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Janice Olyarchuk	Registration No (Attorney/Agent)	Telephone	+353 1 668 6127
Signature			Date	12/22/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**Receipt for Documents Mailed to PTO**

Application Number:

Filing Date:

Title of the Invention: Method of implementing the Kerr effect in an integrated ring resonator (the Kerr Integrated Optical Ring Filter) to achieve all-optical wavelength switching, as well as all-optical tunable filtering, add-and-drop multiplexing, space switching and optical intensity modulation.

Name of Inventor: Dr. Sylvain Fischer

Details of Documents submitted for filing:

Document	# of Pages	Received by PTO
Utility Patent Application Transmittal (PTO/SB/05)	1	
Fee Transmittal for FY 2002 (PTO/SB/17)	1	
Credit Card Payment Form (PTO-2038)	1	
Specification	16	
Claims – 8	3	
Informal Drawings – 11	6	
Declaration for Utility Design Patent Application (PTO/SB/01)	2	

Correspondence Address: Janice Olyarchuk, #55 The Oaks, Herbert Park Lane, Ballsbridge, Dublin 4, Ireland.